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Jc639 U.S. PTO
09/750417
12/27/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL

COMMISSIONER OF PATENTS
Box Patent Application
Washington, D.C. 20231

Attorney Docket No. 6311-5

Art Unit: Not Yet Assigned
Examiner: Not Yet Assigned

Sir:

Transmitted herewith for filing is a utility patent application

Stuart Clenaghan
Timothy Wood
Charles Stietzel
Tom Ineke
David Soanes
Bin Ji

for: **Method and Apparatus For Selling Financial Instruments**

ENCLOSED are the following:

1. ☒ Specification (17 pages), abstract (1 page) and claims (12 pages).
2. ☒ 7 sheets of informal drawings.
3. ☐ Declaration and Power of Attorney (**unsigned**) by the named inventors.
☐ Newly executed (original or copy)
4. ☐ Assignment (**unsigned**)
5. ☐ Information Disclosure Statement

NOTE the following:

7. ☐ Applicant is a small entity, which was established in parent application Serial No. _____ and such status is still proper and desired.
8. ☐ The prior application is assigned to (Recordation cover sheet and accompanying papers)

9. ☒ Priority of the following application(s) is (are) claimed under 35 U.S.C. 119:

Serial No.	Date Filed	Country	Certified Copy of Priority Doc. Filed	
			USSN or PCT#	Date
60/173,274	12/28/99			

11. ☐ An Extension of Time is filed concurrently herewith for the parent application.

12. ☐ Cancel claims prior to calculation of the filing fee.

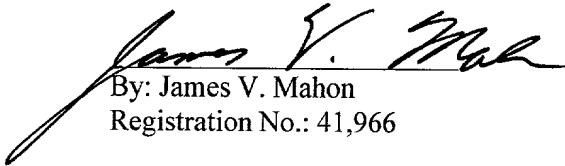
FILING FEE: calculated below (after accounting for any preliminary amendment or claims cancellations if noted above):

<input checked="" type="checkbox"/>	Total Claims	38	Total Claims Subject to Fees: 18	\$296.00
<input checked="" type="checkbox"/>	Independent Claims	7	Total Claims Subject to Fees: 4	\$320.00
<input type="checkbox"/>	Multiple Dependent Claims			\$
<input checked="" type="checkbox"/>	Basic Filing Fee			\$710.00
<input type="checkbox"/>	Extension Fees			\$
	Sub-Total			\$
<input type="checkbox"/>	Less Small Entity Fee Reduction			\$
<input type="checkbox"/>	Assignment Recordal Fees			\$0.00
	Total Fees			\$1,326.00

- ☒ The Commissioner is authorized to charge \$1,326.00 for filing this application as well as any additional fee or credit any overpayment due in connection with this communication to Deposit Account No. 50-0521. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: December 27, 2000


By: James V. Mahon
Registration No.: 41,966

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